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Application No.: 09/571,899 Filing Date: 12/27/2000

Docket #: 42390.P9844

Date Mailed: 12/12/2003 Due Date(s): _____

Client: INTEL CORPORATION

Atty/Sec: WWS/JAH/crr

Title: A Platform and Method for Creating a Secure Boot that Enforces Proper User Authentication and Enforces Hardware Configurations

First Named Inventor: David W. Grawrock

The following has been received in the U.S.P.T.O. on the date stamped hereon:

Certificate of Mailing

Fee Transmittal (original & copy)

Information Disclosure Statement & PTO/SB/08 (4 pgs)

Transmittal Letter

Cited References

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Assignee: Intel Corporation



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COSTA MESA, CA 92626



1-800-672-3555

90-220
121

14668

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DATE 2/6/03
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TO
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OF

Director of the United States Patent
and Trademark Office

AUTHORIZED SIGNATURE

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DETACH AND RETAIN THIS STATEMENT
THE ATTACHED CHECK IS IN PAYMENT OF ITCMS DESCRIBED BELOW.
IF NOT CORRECT PLEASE NOTIFY US PROMPTLY. NO RECEIPT DESIRED.

LATE

DESCRIPTION

2/8/2003

U.S. Patent and Trademark Office IDS fee for A Platform and Method of Creating a Secure Boot that Enforces Proper User Authentication and Enforces Hardware Configurations

App. No.: 09/751,899

Filed: 12/28/00

042390.P9844 WWS/crr

Intel Corporation

AMOUNT

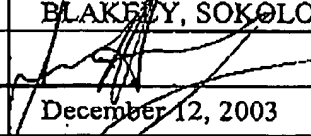
\$ 180.00


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14668

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application No.	09/571,899
	Filing Date	December 27, 2000
	First Named Inventor	David W. Grawrock
	Art Unit	2131
	Examiner Name	Unassigned
Total Number of Pages in This Submission	Attorney Docket Number	42390P9844

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">Cited References</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	James Henry, Reg. No. 41,064 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	December 12, 2003

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or printed name	Corriann R. Reynolds		
Signature		Date	December 12, 2003

Based on PTO/SB/21 (08-03) as modified by Blakely, Sokoloff, Taylor & Zafman (v.6) 09/11/2003.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

**FEE TRANSMITTAL
for FY 2003**

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.**TOTAL AMOUNT OF PAYMENT** (\$) **180.00****Complete if Known**

Application Number	09/571,899
Filing Date	December 27, 2000
First Named Inventor	David W. Grawrock
Examiner Name	Unassigned
Group/Art Unit	2131
Attorney Docket No.	42390P9844

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account

Deposit
Account
Number

02-2666

Deposit
Account
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments
☒ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	180	2005	90	Provisional filing fee	
SUBTOTAL (1)				(\$)	

2. EXTRA CLAIM FEES

Total Claims = 20 = X =
Independent Claims = 3 = X =
Multiple Dependent

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	06	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	66	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)	

**or number previously paid, if greater. For Reissues, see below

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920	1804	920	Requesting publication of SIR prior to Examiner action	
1805	1,840	1805	1,840	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	1,210	2255	605	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1400	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(a)	
1806	180	1806	180	Submission of Information Disclosure Sheet	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1509	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2510	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					
* Reduced by Basic Filing Fee Paid				SUBTOTAL (3)	(\$) 180.00

SUBMITTED BY

Name (Print/Type)	James Henry	Registration No. (Attorney/Agent)	41,064	Telephone	(714) 557-3800
Signature		Date	12/12/03		

Based on PTO/SB/17 (08-03) as modified by Blakely, Sokoloff, Taylor & Zafman (W) 09/11/2003.
SEND TO: Commissioner for Patents, P.O. Box 1480, Alexandria, VA 22313-1480

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

DAVID W. GRAWROCK

Application No.: 09/571,899

Filed: December 27, 2000

For: **A Platform and Method for Creating a
Secure Boot that Enforces Proper User
Authentication and Enforces Hardware
Configurations**

Art Group: 2131

Examiner: Unassigned

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement (IDS) for the above-referenced patent application. In the concurrently filed electronic IDS submission, it was requested that any requisite fees be debited from Deposit Account 02-2666. Applicant respectfully requests that only one fee be debited for these concurrently filed IDS submissions if such fees are required.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: December 12, 2003


James Henry, Reg. No. 41,064

12400 Wilshire Boulevard, 7th Floor
Los Angeles, CA 90025
Telephone: (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Corinn R. Reynolds

12-12-03

Date

PTO/SB/03A(10-01)

Approved for use through 10/31/2002. OIA 651-0011
US Patent & Trademark Office U.S. DEPARTMENT OF COMMERCE

Substitute for form 1418A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number 09/571,899

Filing Date December 27, 2000

First Named Inventor David W. Grawrock

Group Art Unit 2131

Examiner Name Unknown

Sheet 1 of 2

Attorney Docket No: 042390.P9844

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
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	EP-EP0473913	03/11/1992	Farrell, Joel A.			
	EP-EP0600112	06/08/1994	Wimmer, Manfred D.			abs
	EP-EP0930567	07/21/1999	Brewer, Jason M.			
	EP-EP1030237	08/23/2000	Proudlar, John, et al.			
	EP-EP1146715	10/17/2001	Wang, Xin, et al.			
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	WO-WO0062232	10/19/2000	Headrick, Samuel P., et al.			
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	WO-WO9909482	01/15/2002	Bausch, Jean			
	WO-WO9957863	11/11/1999	Hayes Jr., Kent F., et al.			

OTHER DOCUMENTS - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		BERG, CLIFF, "How Do I Create a Signed Applet?", <u>Dr. Dobb's Journal</u> , (08/1997), 1-9	
		BRANDS, STEFAN, "Restrictive Blinding of Secret-Key Certificates", <u>SPRINGER-VERLAG XP002201306</u> , (1995), Chapter 3	
		CHEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor", <u>7th Annual IEEE Symposium, FCCM '99 Proceedings, XP010369180</u> , ISBN 0-7695-0376-6, Los Alamitos, CA, (4/21/1999), 209-221	
		COMPAQ COMPUTER CORPORATION, et al., "Trusted Computing Platform Alliance (TCPA) Main Specification Version 1.1a", (12/2001), 1-321	
		DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", <u>Proceedings of the Symposium on Security and Privacy</u> , IEEE Comp. Soc. Press, ISBN 0-8186-1939-2, (May 1989).	
		GOLDBERG, ROBERT P., "Survey of Virtual Machine Research", <u>COMPUTER Magazine</u> , (06/1974), cover, contents, 34-35	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1442)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. * Applicant's unique citation designation number (optional) * Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

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PTO Form 1449A (10-01)
Approved for use through 10/31/2009. OMB 051-0001
US Patent & Trademark Office, U.S. DEPARTMENT OF COMMERCE

Complete if Known Application Number Filing Date First Named Inventor Group Art Unit Examiner Name	09/571,899
	December 27, 2000
	David W. Grawrock
	2131
	Unknown
Sheet 2 of 2	Attorney Docket No: 042390.P9844

		GONG, LI, et al., "Going Behind the Sandbox: An Overview of the New Security Architecture in the Java Development Kit 1.2", <u>Proceedings of the USENIX Symposium on Internet Technologies and Systems</u> , Monterey, CA, (12/1997),	
		GUM, P. H., "System/370 Extended Architecture: Facilities for Virtual Machines", <u>IBM J. Research Development</u> , Vol 27, Number 6, (11/1983), 530-544	
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		SAEZ, SERGIO, et al., "A Hardware Scheduler for Complex Real-Time Systems", <u>Proceedings of the IEEE International Symposium on Industrial Electronics</u> , XP002190615, (July 1999), 43-48	
		SHERWOOD, TIMOTHY, et al., "Patchable Instruction ROM Architecture", <u>Department of Computer Science and Engineering, University of California, San Diego, La Jolla, CA</u> , (Nov. 2001), 24-33	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. * Applicant's unique citation designation number (optional) * Applicant is to place a check mark here if English language Translation is attached

**UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention

**A Platform and Method of Creating a Secure Boot That Enforces Proper
User Authentication and Enforces Hardware Configurations**

Submission Type: Information Disclosure Statement

Application Number: 09/751899

09/751899

EFS ID: 52214

Server Response:

Confirmation Code	Message
ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application
ICON1	9094
ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmation/Application numbers at this time. They will be checked by PTO personnel later.

First Named Applicant: Grawrock David

Attorney Docket Number: 42P09844

Timestamp: 2003-12-12 20:31:43 EDT

From: us

File Listing:

Doc. Name	File Name	Size (Bytes)
us-fee-sheet	42P09844-usfees.xml	1759
us-fee-sheet	us-fee-sheet.xml	24912
us-fee-sheet	us-fee-sheet.dtd	11069
us-ids	42P09844-usidst.xml	25929
us-ids	us-ids.dtd	7763
us-ids	us-ids.xml	12026
package-data	42P09844-pkda.xml	2385
package-data	package-data.dtd	27025
package-data	us-package-data.xml	19263
Total files size		132131

Message Digest: eac3daebdfa3f64dacf2d0e35e7c992c43484def

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Office,ou=Department of Commerce,o=U.S.
Government,c=US

FEE TRANSMITTAL

Electronic Version v08

Stylesheet Version v08.0

Title of Invention

A Platform and Method of Creating a Secure Boot That Enforces Proper User Authentication and Enforces Hardware Configurations

Application Number: 09/751899 *09/751899*

Date: 2000-12-27

First Named Applicant: Grawrock David

Attorney Docket Number: 42P09844

Art Unit: Unknown

Examiner: Unknown Unknown

TOTAL FEE AUTHORIZED \$180

Patent fees are subject to annual revisions on or about October 1st of each year.

BASIC FILING FEE

Fee Description	Fee Code	Amount \$	Fee Paid \$
Submission Of Information Disclosure Stmt Fee	1806	180	180

AUTHORIZED BILLING INFORMATION

The commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit account number: 022666

Access Code ****

Deposit name: Blakely Sokoloff Taylor Zafman LLP

Deposit authorized name: William W. Schaal

Signature: William W. Schaal

Date (YYYYMMDD): 2003-12-12

Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention**A Platform and Method of Creating a Secure Boot That Enforces Proper User Authentication and Enforces Hardware Configurations**

Application Number: 09/751899

09/751899

Confirmation Number: 9094

First Named Applicant: Grawrock David

Attorney Docket Number: 42P09844

Art Unit: Unknown

Examiner: Unknown Unknown

Search string: (20010021969 or 20010027527 or 20010037450 or 4037214 or 4247905 or 4278837 or 4319323 or 4347565 or 4366537 or 4521852 or 4571672 or 4759064 or 4795893 or 4825052 or 4907270 or 4907272 or 4910774 or 5022077 or 5075842 or 5079737 or 5139760 or 5255379 or 5293381 or 5293424 or 5317705 or 5386552 or 5421006 or 5434999 or 5437033 or 5442645 or 5455909 or 5459867 or 5459869 or 5473692 or 5479509 or 5504922 or 5511217 or 5522075 or 5528231 or 5533126 or 5566323 or 5568552 or 5590287 or 5606617 or 5615263 or 5628022 or 5630106 or 5657445 or 5717903 or 5720609 or 5721222 or 5729760 or 5737604 or 5737760 or 5757919 or 5764950 or 5764969 or 5796835 or 5796845 or 5805712 or 5825875 or 5835594 or 5844986 or 5852717 or 5854913 or 5867577 or 5872994 or 5890189 or 5900606 or 5901225 or 5901294 or 5903752 or 5937063 or 5953502 or 5970147 or 5978481 or 5987557 or 6014745 or 6055637 or 6058478 or 6075938 or 6085296 or 6092095 or 6101584 or 6115816 or 6125430 or 6148379 or 6158546 or 6175925 or 6178509 or 6182089 or 6192455 or 6205550 or 6222923 or 6249872 or 6252650 or 6269392 or 6272533 or 6272637 or 6282651 or 6282657 or 6292874 or 6301646 or 6308270 or 6314409 or 6321314 or 6339815 or 6339816 or 6357004 or 6374286 or 6374317 or 6378072 or 6389537 or 6397242 or 6412035 or 6421702 or 6435416 or 6445797 or 6463535 or 6499123 or 6505279 or 6507904 or 6535988 or 6557104 or 6633963 or 6633981).pn.

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	20010021969	2001-09-13	Burger, Stephen G., et al.			
	2	20010027527	2001-10-04	Khidekel, Yuri , et al.			
	3	20010037450	2001-11-01	Metlitski, Evgueny A., et al.			

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13	4795893	1989-01-03	Ugon, Michael
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15	4907270	1990-03-06	Hazard, Michel
16	4907272	1990-03-06	Hazard, Michel
17	4910774	1990-03-20	Barakat, Simon
18	5022077	1991-06-04	Bealkowski, Richard , et al.
19	5075842	1991-12-24	Lai, Konrad K.
20	5079737	1992-01-07	Hackbarth, Holden G.
21	5139760	1994-06-07	Mason, Andrew H., et al.
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Remarks

Note: Remarks are not for responding to an office action.

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(c)(2), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent documents for consideration by the Examiner. Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. This Electronic Information Disclosure Statement is being filed after the mailing of a first office action and before the receipt of a final office action, notice of allowance, or an action otherwise closing prosecution. Pursuant to 37 CFR 1.97(c)(2), the fee set forth in 37 CFR 1.17(p) of \$180.00 is due for the filing of this Electronic Information Disclosure Statement. Please charge this fee and any other fee that may be due to Deposit Account 02-2666. Applicants respectfully request that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record.

Signature

Examiner Name	Date